

A BOHL–BOHR–KADETS TYPE THEOREM CHARACTERIZING BANACH SPACES NOT CONTAINING c_0

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ABSTRACT. We prove that a separable Banach space E does not contain a copy of the space c_0 of null-sequences if and only if for every doubly power-bounded operator T on E and for every vector $x \in E$ the relative compactness of the sets $\{T^{n+m}x - T^n x : n \in \mathbb{N}, m \geq 1\}$ (for some/all $m \in \mathbb{N}, m \geq 1$) and $\{T^n x : n \in \mathbb{N}\}$ are equivalent. With the help of the Jacobs–de Leeuw–Glicksberg decomposition of strongly compact semigroups the case of (not necessarily invertible) power-bounded operators is also handled.

This note concerns the following problem: Given a Banach space E , a bounded linear operator $T \in \mathcal{L}(E)$ and a vector $x \in E$, we would like to conclude the relative compactness of the orbit

$$\{T^n x : n \in \mathbb{N}\} \subseteq E$$

from the relative compactness of the consecutive differences of the iterates

$$\{T^{n+1}x - T^n x : n \in \mathbb{N}\} \subseteq E.$$

This problem is a discrete, “linear operator analogue” of the classical Bohl–Bohr theorem about the integration of almost periodic functions. Before going to the results let us explain this connection.

Given a (Bohr) almost periodic function $f : \mathbb{R} \rightarrow \mathbb{C}$ with its integral $F(t) = \int_0^t f(s)ds$ bounded, then F is almost periodic itself. This result was extended to Banach space valued almost periodic functions $f : \mathbb{R} \rightarrow E$ by M. I. Kadets [7], provided that E does not contain an isomorphic copy of the Banach space c_0 of null-sequences. Actually, the validity of this integration result for *every* almost periodic function $f : \mathbb{R} \rightarrow E$ characterizes the absence of c_0 in the Banach space E .

The generalization of Kadets’ result—which explains the connection to our problem—was studied by Basit for functions $f : G \rightarrow E$ defined on a group G and taking values in the Banach space E (for simplicity suppose now G to be Abelian). In [2] Basit proved that if $F : G \rightarrow E$ is a bounded function with almost periodic difference functions

$$F(\cdot + g) - F(\cdot) \quad \text{for all } g \in G,$$

and E does not contain c_0 , then F is almost periodic. The relation to Kadets’ result is the following: If $f : \mathbb{R} \rightarrow E$ is almost periodic, so is $F_\varepsilon(t) := \int_t^{t+\varepsilon} f(s)ds$

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for every $\varepsilon > 0$. So Kadets' theorem tells that if $F(t) = \int_0^t f(s)ds$ is bounded and E does not contain c_0 , then the almost periodicity of

$$F(\cdot + \varepsilon) - F(\cdot) \quad \text{for all } \varepsilon > 0$$

implies that of F .

Now returning to our problem, suppose $T \in \mathcal{L}(E)$ is *doubly power-bounded* (i.e., $T, T^{-1} \in \mathcal{L}(E)$ are both power-bounded). Then by applying Basit's result to the function $F : \mathbb{Z} \rightarrow E$, $F(n) := T^n x$, we obtain that $\{T^n x : n \in \mathbb{Z}\}$ is relatively compact in E if

$$\{T^{n+m}x - T^n x : n \in \mathbb{Z}\} \quad \text{is relatively compact for all } m \in \mathbb{Z},$$

for which it suffices that

$$\{T^{n+1}x - T^n x : n \in \mathbb{Z}\} \quad \text{is relatively compact.}$$

Let us record this latter fact in the next lemma.

Lemma 1. *Let E be a Banach space and $T \in \mathcal{L}(E)$ be a power-bounded operator. If for some $x \in E$ the set*

$$\{T^{n+1}x - T^n x : n \in \mathbb{N}\}$$

is relatively compact, then so is the set

$$\{T^{n+m}x - T^n x : n \in \mathbb{N}\}$$

for all $m \in \mathbb{N}$.

Proof. Denote by D_1 the first set and by D_m the second one. We may suppose $m \geq 2$. By continuity of T the sets $TD_1, T^2D_1, T^{m-1}D_1$ are all relatively compact. Since

$$T^{m+n}x - T^n x = T^{m-1}(T^n x - x) + T^{m-2}(T^n x - x) + \cdots + T(T^n x - x) + (T^n x - x),$$

we obtain $D_m \subseteq TD_1 + T^2D_1 + \cdots + T^{m-1}D_1$ implying the relative compactness of D_m . \square

So our problem can be answered satisfactorily for doubly power-bounded operators on Banach spaces not containing c_0 . The situation is different if T is non-invertible, or invertible but with not power-bounded inverse. To enlighten what may be true in such a situation, let us recall a result of Ruess and Summers, who considered the generalization of the Bohl–Bohr–Kadets result for functions $f : \mathbb{R}_+ \rightarrow E$, see [8, Thm. 2.2.2] or [9, Thm. 4.3].

Given an *asymptotically almost periodic* function $f : \mathbb{R}_+ \rightarrow E$, one can find an *almost periodic* one $f_r : \mathbb{R} \rightarrow E$ and another function $f_s : \mathbb{R}_+ \rightarrow E$ vanishing at infinity such that $f = f_s + f_r$. Ruess and Summers proved the following. Suppose f is asymptotically almost periodic with

$$F(t) := \int_0^t f(s)ds \quad \text{bounded,}$$

and the improper Riemann integral of f_s exists in E . If E does not contain c_0 then F is asymptotically almost periodic. For details and discussion we refer to [8, Sec. 2.2]. As we see, a Jacobs–de Leeuw–Glicksberg type decomposition plays an essential role here.

Our main result, Corollary 12, provides the solution to the very first problem concerning power-bounded operators in this spirit. It contains the mentioned special case of Bolis' result when T is doubly power-bounded. For stating the result we first need some preparations, explaining an analogue of the decomposition above used by Ruess and Summers. Let E be a Banach space and let $T \in \mathcal{L}(E)$, which is from now on always assumed to be power-bounded. A vector $x \in E$ is called *asymptotically almost periodic* (a.a.p. for short) with respect to T if the (forward) orbit

$$\{T^n x : n \in \mathbb{N}\} \subseteq E$$

is relatively compact. Denote by E_{aap} the collection of a.a.p. vectors, which is a closed T -invariant subspace of E . We shall need the following form of the Jacobs–de Leeuw–Glicksberg decomposition for operators with relatively compact (forward) orbits; see [5, Chapter 16], or [6, Thm V.2.14] where the proof is explained for continuously parametrized semigroups instead of semigroups of the form $\{T^n : n \in \mathbb{N}\}$ (the proof is nevertheless the same).

Theorem 2 (Jacobs–de Leeuw–Glicksberg). *Let E be a Banach space and let $T \in \mathcal{L}(E)$ have relatively compact orbits (T is hence power-bounded). Then there is a projection $P \in \mathcal{L}(E)$ commuting with T such that*

$$\begin{aligned} E_r &:= \text{rg } P = \{x \in E : Tx = \lambda x \text{ for some } \lambda \in \mathbb{C}, |\lambda| = 1\}, \\ E_s &:= \text{rg}(I - P) = \ker P = \{x \in E : T^n x \rightarrow 0 \text{ for } n \rightarrow \infty\}. \end{aligned}$$

The restriction of T to E_r is a doubly power-bounded operator.

Note that the occurring subspaces and the projection depend on the linear operator T and—for the sake of better legibility, we chose not to reflect this dependence in notation. Now, we can apply this decomposition to a given power-bounded $T \in \mathcal{L}(E)$, or more precisely to the restriction of T to E_{aap} . We therefore obtain a decomposition

$$E_{\text{aap}} = \text{rg } P \oplus \ker P = E_r \oplus E_s,$$

note that $E_r, E_s \subseteq E_{\text{aap}}$; E_s is called the stable while E_r the reversible subspace. On $\text{rg } P$ the restriction of T is a doubly power-bounded, and

$$\{T^n|_{E_r} : n \in \mathbb{Z}\}$$

is a strongly compact group of operators.

Remark 3. Now suppose that $T \in \mathcal{L}(E)$ is even doubly power-bounded. Then in the above decomposition $E_s = \{0\}$ must hold. So if $x \in E_{\text{aap}}$, then even the backward orbit is relatively compact, i.e.

$$\{T^n x : n \in \mathbb{Z}\} \text{ is relatively compact.}$$

A vector $x \in E_r$ is also called *almost periodic*.

Lemma 1 tells that for $n, m \in \mathbb{N}$ with $m \geq n$ we have $(T^m - T^n)x \in E_{\text{aap}}$ whenever $(T - I)x \in E_{\text{aap}}$.

We are interested in whether $x \in E_{\text{aap}}$ if $(T - I)x \in E_{\text{aap}}$. The answer would be trivially “yes”, if we knew that $T^n x - x$ actually converges as $n \rightarrow \infty$. Here is a slightly more complicated view on trivial fact:

Remark 4. a) Suppose we know $x \in E_{\text{aap}}$. Then we can apply $I - P$ to x and obtain

$$(I - P)(T^n - I)x = (I - P)(T^n x - x) = T^n(I - P)x - (I - P)x \rightarrow (P - I)x$$

for $n \rightarrow \infty$. Hence if $x \in E_{\text{aap}}$, then $(I - P)(T^n - I)x$ must be convergent.

- b) Suppose that $(I - P)(T^n - I)x$ converges for $n \rightarrow \infty$ (note again that $T^n x - x \in E_{\text{aap}}$, so we can apply the projection $I - P$ to it). If $(T - I)x \in E_{\text{aap}}$ belongs even to the stable part, then $(T^n - I)x \in E_s$, so $(I - P)(T^n - I)x = (T^n - I)x$. Hence $T^n x - x$ converges as $n \rightarrow \infty$ by assumption, implying $x \in E_{\text{aap}}$.

It remains to study the case when $(T - I)x \in E_r = \text{rg } P$. The next is a preparatory lemma.

Lemma 5. *Suppose x is not an a.a.p. vector but $(T - I)x \in E_{\text{aap}}$. Furthermore, suppose that $(I - P)(T^n x - x)$ converges. Then there is a $\delta > 0$ and a subsequence (n_k) of \mathbb{N} such that*

$$\|P(T^{n_k} x - T^{n_\ell} x)\| \geq \delta \quad \text{for all } k, \ell \in \mathbb{N}, k \neq \ell.$$

Proof. By the non-a.a.p. assumption there is a subsequence (n_k) of \mathbb{N} and a $\delta > 0$ such that $\|T^{n_k} x - T^{n_\ell} x\| > 2\delta$ for $\ell \neq k$. By the other assumption, however, $(I - P)(T^{n_k} x - x)$ is a Cauchy-sequence so when leaving out finitely many members, we can pass to a subsequence with $\|(I - P)(T^{n_k} x - T^{n_\ell} x)\| < \delta$ for all $k, \ell \in \mathbb{N}$, $\ell, k \geq k_0$. The assertion follows from this. \square

Note that in the situation of this lemma we necessarily have $\|P\| > 0$.

Lemma 6. *Let E be a Banach space, let $T \in \mathcal{L}(E)$ be power-bounded, and let $x_1, \dots, x_m \in E$ be a.a.p. vectors. For every sequence $(n_k) \subseteq \mathbb{N}$ there is a subsequence (n'_k) with $n'_k - n'_{k-1} \rightarrow \infty$ and*

$$\|T^{n'_k} x_i - T^{n'_{k-1}} x_i\| \rightarrow 0 \quad \text{for all } i = 1, \dots, m \text{ as } k \rightarrow \infty.$$

Proof. Consider the Banach space $X = E^m$ and the diagonal operator $S \in \mathcal{L}(X)$ defined by $S(y_i) = (Ty_i)$. This is trivially power-bounded and $(x_i) \in X$ is an a.a.p. vector. The assertion follows from this, since $(S^{n_k}(x_i))$ has a Cauchy subsequence $(S^{n'_k}(x_i))$ with $n'_k - n'_{k-1} \rightarrow \infty$ as $k \rightarrow \infty$. \square

We now come to the answer of the initial question.

Theorem 7. *Let E be Banach space which does not contain an isomorphic copy of c_0 , and let $T \in \mathcal{L}(E)$ be a power-bounded operator. If $x \in E$ and $(T - I)x$ is an a.a.p. vector with $(I - P)(T^n - I)x$ convergent for $n \rightarrow \infty$, then x itself is a.a.p. vector.*

The proof is by contradiction, i.e., we suppose that there is some $x \in E$ satisfying the assumptions of the theorem but being not asymptotically almost periodic. The contradiction arises then by finding a copy of c_0 in E , for which we shall use the classical result of Bessaga and Pełczyński [3] in the following form, see also [4, Thms. 6 and 8].

Theorem 8 (Bessaga–Pełczyński). *Let E be a Banach space and let $x_n \in E$ be vectors such that the partial sums are unconditionally bounded (i.e., $\sum_{j=1}^N x_{n_j}$ are uniformly bounded for all subsequences (n_j) of \mathbb{N}) and such that the series $\sum x_i$ is nonconvergent. Then E contains a copy of c_0 .*

The idea of the proof is based on Basit's paper, but it is not a direct modification, since we do not know whether we can apply the projections P to x or to Tx .

Proof of Theorem 7. We argue indirectly. Assume that $x \notin E_{\text{aap}}$, so by Lemma 5 we can take a subsequence (n_k) and a $\delta > 0$ such that $\|P(T^{n_k}x - T^{n_\ell}x)\| > \delta$ for all $k, \ell \in \mathbb{N}$ with $k \neq \ell$. Next we construct a sequence that fulfills the conditions of the Bessaga-Pelczynski Theorem 8, hence exhibiting a copy of c_0 in E . First of all let $M := \max(\sup\{\|T^n|_{E_x}\| : n \in \mathbb{Z}\}, \sup\{\|T^n\| : n \in \mathbb{N}\}, \|P\|)$. Take $k_1 \in \mathbb{N}$ such that $\|P(T^{k_1}x - x)\| > \delta/M$ (use Lemma 5), and suppose that the strictly increasing finite sequence k_i , $i = 1, \dots, m$ is already chosen. For a subset $F \subset \{1, 2, \dots, m\}$ denote by ΣF the sum $\sum_{i \in F} k_i$ (if $F = \emptyset$, then $\Sigma F = 0$). Each of the finitely many vectors $T^{\Sigma F}x - x$ belongs to E_{aap} by Lemma 1. By using Lemma 6 we find $k, \ell \in \mathbb{N}$ with $k - \ell > k_m$ such that

$$\|T^{n_k}(T^{\Sigma F}x - x) - T^{n_\ell}(T^{\Sigma F}x - x)\| \leq \frac{1}{M2^m} \quad \text{for all } F \subseteq \{1, \dots, m\}.$$

By setting $k_{m+1} := n_k - n_\ell$ we obtain

$$(1) \quad \|T^{k_{m+1}}P(T^{\Sigma F}x - x) - P(T^{\Sigma F}x - x)\| \leq \frac{1}{2^m}$$

for all $F \subseteq \{1, \dots, m\}$. We also have

$$M\|P(T^{k_{m+1}}x - x)\| \geq \|T^{n_\ell}P(T^{k_{m+1}}x - x)\| = \|P(T^{n_k}x - T^{n_\ell}x)\| \geq \delta,$$

and hence we obtain

$$\|P(T^{k_{m+1}}x - x)\| \geq \frac{\delta}{M}.$$

Let $x_i := P(T^{k_i}x - x)$. We claim that the sequence (x_i) fulfills the conditions of Theorem 8. Indeed, we have $\|x_i\| \geq \delta/M$ by construction so the series $\sum x_i$ cannot be convergent. For $m \in \mathbb{N}$ and $1 \leq i_1 < i_2 < \dots < i_m$ we have

$$\begin{aligned} -\sum_{j=1}^m x_{i_j} &= T^{k_{i_m}}P(T^{k_{i_1}+\dots+k_{i_{m-1}}}x - x) - P(T^{k_{i_1}+\dots+k_{i_{m-1}}}x - x) \\ &\quad + T^{k_{i_{m-1}}}P(T^{k_{i_1}+\dots+k_{i_{m-2}}}x - x) - P(T^{k_{i_1}+\dots+k_{i_{m-2}}}x - x) \\ &\quad \vdots \\ &\quad + T^{k_{i_2}}P(T^{k_{i_1}}x - x) - P(T^{k_{i_1}}x - x) \\ &\quad + P(x - T^{k_{i_1}+\dots+k_{i_m}}x). \end{aligned}$$

By (1) we obtain

$$\left\| \sum_{j=1}^m x_{i_j} \right\| \leq \sum_{j=2}^m \frac{1}{2^{i_j-1}} + M\|x\| + M^2\|x\| \leq M' < +\infty.$$

It follows that E contains a copy of c_0 , a contradiction. \square

If T is doubly power-bounded, then by Remark 3 we have $E_s = \{0\}$, and hence $(I - P) = 0$. So we obtain the following special case of Basit's more general result:

Corollary 9 (Basit). *Let E be Banach space E which does not contain a copy of c_0 , and let $T \in \mathcal{L}(E)$ be a doubly power-bounded operator. If $x \in E$ and $(T - I)x$ is an a.a.p. vector, then so is x itself.*

The above results are certainly not valid for arbitrary Banach spaces. A counterexample is actually provided by the very same one showing that the analogue of the Bohl–Bohr theorem fails for arbitrary Banach-valued functions, see [7] or [9, Sec. 2.1].

Example 10. Consider $E = \text{BUC}(\mathbb{R}; c_0)$, and T the shift by $a > 0$, and $x(t) := (\sin \frac{t}{2^n})_{n \in \mathbb{N}}$. Then $T \in \mathcal{L}(E)$ is doubly power-bounded, and we have

$$\left| \sin \frac{t+h}{2^n} - \sin \frac{t}{2^n} \right| = \left| \sin \frac{h}{2^{n+1}} \cos \frac{2t+h}{2^{n+1}} \right| \leq \varepsilon$$

for all $n \in \mathbb{N}$ and $t \in \mathbb{R}$ if $|h|$ is sufficiently small, therefore $x \in \text{BUC}(\mathbb{R}; c_0)$. On the other hand x is not an a.a.p. vector since the set

$$\left\{ \left(\sin \frac{t+ma}{2^n} \right)_{n \in \mathbb{N}} : m \in \mathbb{N}, t \in \mathbb{R} \right\} \subseteq c_0$$

is not relatively compact. On the other hand,

$$y(t) := [(T - I)x](t) = \left(\sin \frac{t+a}{2^n} - \sin \frac{t}{2^n} \right)_{n \in \mathbb{N}} = \left(\sin \frac{a}{2^{n+1}} \cos \frac{2t+a}{2^{n+1}} \right)_{n \in \mathbb{N}}$$

is almost periodic, because $y(t)_n \rightarrow 0$ uniformly in $t \in \mathbb{R}$ as $n \rightarrow \infty$.

Next we show that on c_0 itself there is bounded linear operator satisfying the assumptions of Theorem 7 but for which the conclusion of that theorem fails to hold.

Example 11. It suffices to exhibit an example on $E := c$. Let $(a_n) \in c$ be a sequence with $|a_n| = 1$ for all $n \in \mathbb{N}$ and $a_n \neq b := \lim_{n \rightarrow \infty} a_n$ for all $n \in \mathbb{N}$. Define

$$T(x_n) := (a_n x_n).$$

Then $T \in \mathcal{L}(E)$ with $\|T\| = 1$. Moreover, T is invertible and doubly power-bounded. Since the standard basis vectors of c_0 are eigenvectors of T corresponding to unimodular eigenvalues, they all belong to E_r , and hence $c_0 \subseteq E_r \subseteq E_{\text{aap}}$. Moreover, since T is doubly power-bounded we have $E_s = \{0\}$, $I - P = 0$, and the condition “ $(I - P)(T^n x - x)$ converges” is trivially satisfied for every $x \in E$. Not all vectors are a.a.p. with respect to T . It suffices to prove this for the case when $b = \lim_{n \rightarrow \infty} a_n = 1$, otherwise we can pass to the operator $b^{-1}T$, which has precisely the same a.a.p. vectors as T . Now suppose by contradiction that $E = E_{\text{aap}}$ holds. Then T is mean ergodic on E , which is equivalent to the fact that $\ker(T - I)$ separates $\ker(T' - I)$, see, e.g., [5, Ch. 8]. But this is false, as $\dim \ker(T - I) = 0$ and $\dim \ker(T' - I) \geq 1$. Hence $E \neq E_{\text{aap}}$ and it also follows that $E_r = E_{\text{aap}} = c_0$.

Finally, we indeed suppose $b = 1$. Then, since $\text{ran}(T - I) \subseteq c_0 = E_{\text{aap}}$, we obtain that $(T - I)x$ is a.a.p., for every $x \in E$, but not all $x \in E$ belongs to E_{aap} .

By [1, Sec. 2.5] if c_0 is a closed subspace in a separable Banach space, then it is complemented in there. Thus Example 11 in combination with Theorem 7 yields the following:

Corollary 12. *For a separable Banach space E the following assertions are equivalent:*

- (i) *The Banach space E does not contain a copy of c_0 .*

(ii) For every power-bounded linear operator $T \in \mathcal{L}(E)$ and $x \in E$ the orbit

$$\{T^n x : n \in \mathbb{N}\} \subseteq E$$

is relatively compact if and only if

$$\{T^{n+1}x - T^n x : n \in \mathbb{N}\} \subseteq E$$

is relatively compact and $(I - P)(T^n x - x)$ is convergent for $n \rightarrow \infty$.

We close this paper by two consequences of the previous results, interesting in their own right:

Corollary 13. *Let E be Banach space not containing c_0 . Then for every $x \in E$, $T \in \mathcal{L}(E)$ doubly power-bounded operator and $m \in \mathbb{N}$, $m \geq 1$, the relative compactness of the two sets*

$$D_1 := \{T^{n+1}x - T^n x : n \in \mathbb{N}\} \subseteq E$$

and

$$D_m := \{T^{n+m}x - T^n x : n \in \mathbb{N}\} \subseteq E$$

are equivalent.

Proof. If D_m is relatively compact, then so is $\{T^{nm+m}x - T^{nm}x : n \in \mathbb{N}\}$ and by Corollary 9 even $\{T^{nm}x : n \in \mathbb{N}\}$. By the continuity of T the set $B_k := \{T^{nm+k}x : n \in \mathbb{N}\}$ is relatively compact for all $k = 0, \dots, m-1$. Since

$$\{T^n x : n \in \mathbb{N}\} = B_1 \cup B_2 \cup \dots \cup B_{m-1},$$

the relative compactness of the (forward) orbit of x follows. But this implies the relative compactness of D_1 . That the relative compactness of D_1 implies that of D_m , is true without any assumption on the Banach space E , see Lemma 1. \square

Example 14. Let $E := c$ and for $m \in \mathbb{N}$, $m \geq 2$ fixed let T be as in Example 10 with $\lim_{n \rightarrow \infty} a_n = b \in \mathbb{C}$ an m^{th} root of unity. Then we have $E_{\text{aap}} = E_r = c_0$. Since $\text{rg}(T^m - I) \subseteq c_0$ and $\text{rg}(T - I) \subseteq c_0 + (b-1)\mathbf{1}$ ($\mathbf{1}$ is the constant 1 sequence), we obtain that for this doubly power-bounded operator T and for every $x \in E$ the set D_m as in Corollary 13 is compact, while D_1 is not.

Similarly as for Corollary 12, we obtain from Corollary 13 and Example 14 the next characterization.

Corollary 15. *A separable Banach space E does not contain a copy of c_0 if and only if for every $x \in E$, $T \in \mathcal{L}(E)$ doubly power-bounded operator and $m \in \mathbb{N}$ the compactness of the two sets*

$$\{T^{n+1}x - T^n x : n \in \mathbb{N}\}$$

and

$$\{T^{n+m}x - T^n x : n \in \mathbb{N}\}$$

are equivalent.

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